OFFICE OF THE COMMISSIONER OF INSURANCE

2005-07 IT STRATEGIC PLAN

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Commissioner

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Introduction

The Office of the Commissioner of Insurance (OCI) updated its Strategic Business Plan in the spring of 2004 and confirmed that the mission of OCI is to lead the way in informing and protecting the public, and responding to their insurance needs.

The OCI mission statement provides the context in which OCI goals and strategies are formulated, depicts the scope and direction for the agency, and provides the framework within which managerial decisions will be made regarding programs, proposed legislation, and administrative goals.

One of the goals established revolves around technology. "OCI will use appropriate technology to provide tools for the regulation of insurance." To accomplish this goal we will:

- Continually review emerging technologies and conduct cost-benefit analysis for applications in OCI, where feasible;
- Encourage office-wide participation in technology planning and implementation such as through the Information Technology Strategic Planning Committee;
- Improve state regulation and service by implementing use of technology to facilitate the sharing of information with other regulatory authorities and consumers;
- Provide opportunities for staff to research and develop new approaches to optimize the use of technology.

The OCI Strategic IT Plan was first published in November of 1994; updated in 1996, 1998, 2000, 2002 and 2004. The IT Strategic Planning Committee (committee) meets once a month to monitor the plan's progress and to develop recommended priorities for IT resources. Management has placed considerable value in this committee effort.

The acronyms IT and IS are used throughout this document. IT means "information technology" and refers to the use of computers, telecommunications, and local, national, and vendor databases to gather, review, and store information to assist meeting the responsibilities of OCI. IS means "information services" and refers to the specific work unit within OCI that programs and maintains the software and hardware at OCI.

In the spring of 2004, in preparation for this updated IT plan, the committee reviewed the 2002 plan and considered what had been accomplished, as well as the viability of remaining projects.

The following had been achieved from the plan:

- Migrated all applications from the WANG minicomputer, which was functionally obsolete and no longer supported;
- Converted the Legal system from an Access application to an Oracle database application;
- Completed more than 25 reports for the new Legal System;
- Automated the Company Exam Assessment application;
- Implemented several web applications enabling external customers to have 24/7 access to OCI information (Agent, Company, and Registered Agent information);
- Upgraded to Version 80 of FIMMAS financial management system for the State Life Fund;
- Completed all imaging backfile;
- Planned for and monitored the move of all OCI hardware from Lake Terrace to GEF III;
- Planned project for reorganization of shared drives and transfer to new server;
- Completed the upgrade of all workstations to Windows 2000 w/Office XP;
- Developed scripts for deploying software upgrades;
- Set up a wireless network for use on insurance company exams;
- Contracted for a new telephone automated caller distribution (ACD) system to better manage call volumes in heavily trafficked program areas;
- Set up training in Project Management for all Application Development staff;
- Implemented an enterprise e-government system, enabling electronic notification of agency actions on proposed rules and submission of public comments (with DHFS);
- Automated several revenue collection calculations including premium tax, fire dues, and fees;

The group then considered the updated Business Plan and discussed potential new projects, considering the current regulatory and budgetary environment. Projects were defined in detail to allow for greater understanding of the breadth of each project. This will help prioritize the projects and assist in the monthly updating of the List of Strategic Projects

The plan is organized around the five focus points of IT architecture; technology, applications, data, security, and organization following the standard methodology selected by the State. Architecture, as the word suggests, provides a design and a blueprint for construction. In this case, it is a blueprint for state of the art IT at OCI. IT in this plan includes technology (hardware, operating system software, voice, data, office systems, telecommunication systems, and standards), applications (automated processes or systems), data (numbers, text, images, graphics, etc.), security (software that protects the agency data including application, e-mail, and Web sites) and organization (the human resources used to support computerized systems and hardware).

The plan consists of seven major parts: an introduction, an executive overview, an IT vision, IT principles, the five architectures, a list of strategic projects, and the project specifications. The plan builds on past accomplishments and on many projects currently underway. It also seeks opportunities to partner with other state agencies or do projects on an enterprise basis.

An example of a project currently being done on an enterprise basis is the E-Mail Consolidation Project. This project will place the e-mail directory, the servers, and the 1st Level Help Desk at the Division of Enterprise Technology (DET) within the Department of Administration (DOA).

The OCI Strategic Planning Committee is sponsored by two division administrators and is advisory to the Commissioner. This plan once completed by the Planning Committee is presented to senior management for their consideration and approval.

This is a dynamic plan. It is the intention of the committee to maintain flexibility and encourage a process for change. The plan will be formally reviewed at least once a year. The list of strategic projects and their priorities will be reviewed monthly by the committee. Changes will be incorporated and new directions published. OCI will review requests for IT resources relative to this planning process.

It is important to note that much, if not most, of this plan depends on securing funding via the biennial budget process. The plan as written is based on the need for specific IT improvements identified in the planning process, and assumes full funding in order to implement those needed improvements. When the biennial budget process is concluded in the summer of 2005, adjustments will be made as necessary.

Executive Overview

OCI continues to aggressively infuse technology in order to provide better and more efficient service to its internal and external customers. The commitment to the use of technology is a key strategy in the agency's business plan. This commitment is based not on technology for technology's sake but on an overall understanding by agency staff that technology can be used to improve staff efficiency and effectiveness and therefore service to the public.

In past years, the committee recognized the technology architecture in use at that time needed to change and evaluated the alternatives. A client/server backbone for hardware and Delphi/Oracle software development was chosen. This has been put in place. Another change that has occurred is the use of the Internet as a place to publish data. The projects completed in this area in the past year are Agent Information, Company Information, and Registered Agents. In this plan, the emphasis is on putting more applications on the Internet. These applications will take advantage of electronic payments and allowing data input and viewing from anywhere, anytime.

OCI's technology infrastructure continues to use Storage Area Network (SAN) hardware and software. This technology allows for fewer servers to access more combined data space. No longer do we need one server and disk space for each type of application. This has and will continue to improve the return on technology investment, as only disk space needs to be added. Return on investment will continue to be studied to make sure that OCI is using base infrastructure and biennial budget request money in a cost-effective manner.

The strategies listed under each architecture below are the steps OCI will take over the next years to improve on technology, return on investment, and systems which make business partners more productive by streamlining processes and giving them control of the data needed in their job.

Technology architecture refers to hardware, software, systems, methods, and standards that an organization uses to develop and operate computer systems. It includes computer and telecommunications equipment, operating systems software, communications software, office support systems, methods for developing and maintaining systems, and the organization's technical standards.

- Review current versions of Windows operating systems to determine how OCI should upgrade its current operating systems.
- Explore the use of current Microsoft office suite software. Determine features that OCI believes will improve productivity.
- Continue to use Delphi as the development platform and explore the use of J2EE. The goal is to allow for reuse and therefore quicker development of applications, producing ongoing savings.
- Continue to develop the Web Architecture to conform to agency technology standards and establish a flexible environment in which appropriate integration can be utilized to meet citizen and business partner needs via the Web, including the use of e-payments.

Application architecture refers to the automated processes or systems that an organization uses to support its programs and to provide service to its customers, employees, and the general public. The application architecture also includes the interrelationship among applications in terms of sharing data, access to applications, and the presentation of applications to users.

- Finish converting legacy applications for regulatory functions. Those systems include Financial Analysis, Financial Data Entry Interface, and Service of Process.
- Explore and implement the use of third-party vendor software for quick delivery of Producer and Forms data to the NAIC NIPR and SERFF systems. The COSMOS system is currently used for producer regulatory operations, insurance company licensing and filing activity, and rate and form filing tracking. The vendor is offering a new option called SIRCON.GOV. This is a web application and will replace COSMOS. OCI will study SIRCON.gov and migrate to the web based application for the existing modules at an appropriate time. Other modules will be evaluated for their utility.
- Interface OCI data with NAIC Data and other state agencies such as DOR, DFI, R & L, and DWD.
- Microsoft Access is the query and report tool used for business partners because it can access data easily. Training will be developed so that business partners understand the Oracle database and how to use Access to its fullest potential for ad hoc information retrieval.

- Add electronic transfer of Complaints information to companies. This will include adding data entry and company security to the application.
- Review the current systems for Financial Exam tracking.

Data architecture refers to the collection, organization, or design and management of data (numbers, text, graphics, images, voice, etc., from the business and information technology perspectives). It deals with developing a plan or "model" of how the data should be organized to support the business requirements and subsequent building and managing of data structures according to that plan. Data administration refers to the administration of the plans and "models" of the data architecture while data management refers to the overall management of the actual data (where and how data is collected, maintaining its accuracy, where and how it is updated, appropriate security and privacy controls). Both terms refer to IT and business area perspectives that include a growing awareness that program staff have the best knowledge of the data and their use.

- Future projects will add new data to OCI databases.
- Imaging is being utilized to store and manage some of the data. Continued use of imaging will allow business partners to deliver enhanced services to their customers.
- A data model has been created and will be kept current with changing needs.
- The data structure for the systems used for producer operations, rate and form filings, invoice and revenue collection, and company license information is provided by the COSMOS 3rd party vender software. The data architecture provided by COSMOS may change as a result of the 3rd party vendor upgrading to SIRCON.GOV which is a Web Application.

Security architecture refers to the software that protects the agency data including application, e-mail, and web site. Security also refers to access to the building site, to the computer rooms, wiring closets, security cables for laptops, tables set up for application security.

- A future project will be to consolidate the personnel information with the application security tables so that they are both able to be easily maintained and can be used in multiple applications.
- The DET WAMS security (or whatever replaces it) will be used to authenticate outside partners for data update and downloading of data.
- Continue the attention to security. Add features as needed to provide security to hardware, networks, data, public information, the Internet site, and the Intranet site.

Organization architecture refers to the resources available for the implementation of information technology, the allocation of those resources from an organizational perspective, and how they are used in support of the organization's mission.

- Continue reviewing the office's IT organizational structure to maximize the value of the office's internal IT resources.
- Continue reviewing the merits of contracting for IT functions vs. securing in-house staff resources as new projects are considered.
- Review internal and external training offerings to ensure staff can fully utilize the computing power provided to them.

The IT Strategic Planning Committee continues to monitor this plan and submits recommendations to management for possible new approaches to solve problems.

The plan places value on the identification of our IT needs regardless of funding availability. However, it is important to note that much, if not most, of this plan depends on securing funding via the biennial budget process. The plan, as written, assumes full funding of on-going IT needs and special projects. When the biennial budget process is concluded in the summer of 2005, adjustments will be made as necessary to match project priorities with available resources. Fewer resources will mean fewer projects can be completed.

Strategic Issues

A number of strategic issues relating to the use of IT in the agency follows:

1. **What is the optimal hardware for OCI?**
   Hardware needs must be continually analyzed. Hardware must follow a standard for connectivity and openness. Using the biennial budget process, funds need to be secured to replace hardware as it becomes obsolete relative to current applications. It also includes payment of software maintenance contracts in a timely manner.

2. **Should OCI continue to consider contracting with third-party vendors for regulatory system software?**
   Over the next biennium OCI will explore actively partnering with third party venders to meet OCI regulatory goals, including the potential adoption of SIRCON.gov, a web-based version of the regulatory system we currently contract for. OCI may also consider purchasing additional modules from the vendor.

3. **How should connectivity and integration be a part of OCI's Strategic IT Plan?**
   Integration is part of the planned data and application work for all OCI units. The committee also feels that cost/benefit analysis must be performed where feasible as each new tool is developed or purchased. The emerging issues needing development include security and expanding access to data and applications. This may involve more imaging applications, more web-based applications or both.

4. **How does the Internet impact OCI?**
   The Internet offers unique opportunities to make OCI services and information readily available to the public as well as reducing costs. It also presents additional regulatory challenges because of the inherent openness and easy access and use. In the past biennium, OCI added Agent, Company, and Registered Agent data to the Internet page. In this biennium, OCI is looking to add Complaint, Rate and Form Filings, and Legal information to the Internet. OCI will also become more proactive in enabling e-payments as a means to facilitate more on-line transactions, promoting data entry and on-line renewals by our customers, and increasing the use of electronic data. OCI staff will continue to evaluate Internet and Intranet alternatives for all information-centered projects and identify regulatory issues along with resource and technological requirements to properly interact, monitor, and regulate insurance activity over the Internet.

5. **What is the optimal IT organizational structure for OCI?**
   In the current evolving regulatory and Information Technology environment, OCI needs to continually evaluate its IT organizational structure to maximize efficiency, value and flexibility.

6. **To what extent should internal and external demands for information be considered or influence the OCI Strategic IT Plan?**
   Prior plans emphasized projects to address the office's internal demands for technology, data, and applications while recognizing the potential for external demands for OCI information. The committee will focus on external access to OCI data and services within each business area application, considering the Internet as a means to achieve such access.

7. **How will Common Administrative Systems and Enterprise Applications impact OCI?**
   If they are available, enterprise solutions such as common administrative systems that may work for OCI and OCI solutions that may work for other state agencies, will also be considered as IT needs are addressed. Recent statewide IT initiatives such as e-mail and server consolidation will be monitored closely to ensure OCI's needs are met.

8. **How will OCI manage change brought about by IT developments, including training, dissemination of information on changes, and operational impact?**
   Staff needs to be included, as early as possible, in the implementation of change so that they can contribute to the change process and be aware of changes before they occur. All staff needs to know the reasons for change and exactly how the change will affect them.

9. **How will OCI utilize its contingent continuity plan?**
   OCI has a Disaster Recovery plan in place. The plan was last tested in the fall of 1999 and the agency standard will be to review, update and test the plan at least once each biennium, including requiring tests where functional units must discuss what to do in the event of a specified disaster. The plan was upgraded in 2002 to reflect continuity of business operations in the event of any type of disaster whether it is one system or the whole agency. Recovery of data for each new system designed is a priority. The agency goal is to have data available 99.9% of the time. Additionally, the office has set a standard for LAN availability at 99.9%.

10. **What does IT use as standards?**
    Generally, OCI uses the standards developed by the State through the Department of Administration's Division of Enterprise Technology. OCI also has an IT Standards Committee that is responsible for monitoring the requirements of OCI for any software or hardware product. OCI is exploring development standards and tools, such as the J2EE Java standard. The appropriate standard can allow for efficient development of applications, including Web applications. Standards are reviewed on a rolling 3 year horizon to ensure they are kept current.

Vision

Future IT Environment Vision

The vision for IT at OCI was developed to project into the future an environment that would deliver needed services to OCI staff and outside parties. The vision for IT is to support and align projects with the OCI Business Plan and the needs of the business partners.

The specifics of OCI's future IT environment are directly linked to the agency's strategic business plan that provides the programmatic framework for all OCI work. Over the last 12 years, the IT environment at OCI has developed rapidly, but always with the focus on the needs of OCI's business partners (our external customers and our program administrators and employees) . By practicing strict strategic alignment of IT resources with programmatic priorities, OCI has achieved a match between business partner needs and technical sophistication.

To create the envisioned IT environment, the IT Strategic Planning Committee identified six key aspects to be embodied in the OCI IT environment. Several of these aspects are already present and have been critical to the success of the office's current work. Others are evolving as the OCI environment changes to meet the needs of the programmatic business partners. The following points outline the six aspects that the IT Strategic Planning Committee believes to be critical.

1. **Principles of staff involvement and a focus on business needs are used in IT strategic planning and staff training.**
   - OCI's IS Section has well-documented architectures using standards developed and agreed upon through the IT strategic planning process.
   - OCI has a productive work force, well trained in IT specifically appropriate for them.
   - Planning sessions are held regularly with business partners.
   - OCI has an active and productive IT planning process which monitors and ensures that all IT planning conforms to the Strategic IT Plan.
   - OCI staff understands the goals of the Strategic IT Plan.

2. **OCI's IT organizational architecture facilitates responsiveness to business partner needs.**
   - The IT Strategic Planning Committee is comprised of business partners and IT staff.
   - IT resources are available to support the business partner needs, including contracting, if appropriate.
   - Designated primary and backup IT staff are assigned to support specific business activities.
   - OCI's capability to develop Web applications will be expanded but centralized control over Web content and format is retained by having the agency's internal Web Committee set policies for what is published to the Web.
   - IT staff are knowledgeable about the business activities they support.
   - Business partners are knowledgeable about IT, as appropriate.
   - OCI's IS Section communicates with its business partners facilitating responsive and smooth operations of the various processing systems.
   - OCI's non-IT work force communicates with the IS Section ensuring that OCI's technology is properly leveraged for efficient and effective operations.
   - IS staff responds in a timely way.

3. **OCI's business processes and new development in IT will continually be reviewed.**
   - Workflow is analyzed and results are included in every business system redesign.
   - IT models will be reviewed for replication in other areas.
   - Research and development of emerging technologies will be performed and reviewed to enhance the business process.
   - OCI will continue to consider the purchase of regulatory system software from third-party vendors.
   - OCI will work with DET and other agencies to bring about enterprise solutions where common goals and data needs present themselves.
   - OCI will work with other state insurance departments through the NAIC or individually, where appropriate, to leverage and share expertise in areas of common interest.

4. **Employees have access to all applications, data, and technology tools necessary to perform their job.**
   - OCI has appropriate systems in place to allow staff to carry out their duties in the most effective way possible.
   - Data is complete, secure, accurate, and efficiently stored and retrieved.
   - Employees have the ability to customize applications, where appropriate, including parameterized reports.
   - Employees have appropriate hardware and software that is maintained, upgraded, and replaced on a scheduled cycle, as appropriate.
   - OCI employees are sufficiently trained to utilize IT tools to perform their jobs in an appropriate and effective manner.

5. **OCI uses electronic communication as a business tool.**
   - OCI strives to provide convenient and reliable access to electronic delivery of government services, as directed in Executive Order no. 408.
   - OCI has access to external databases.
   - Data is collected and edited electronically wherever feasible.
   - Routine data exchange is performed automatically.
   - An electronic interface is used for regulatory purposes where appropriate.
   - Telecommunications are used for exchange of information generated by staff away from the office.
   - The Internet and other electronic means of communications are used to make information readily available to the public.
   - Customers may communicate with OCI electronically.
   - Telecommunications utilize state of the art technology as appropriate.
   - The Internet is an integral component of OCI's communication and data gathering plans.

6. **OCI has a continuity plan in place and practices situation recovery.**
   - OCI and its third-party vendors have plans that address short-term and long-term interruption in operations.
   - OCI and its third-party vendors have plans that allow OCI staff to continue to perform their duties and responsibilities with as little interruption as possible.
   - OCI and its third-party vendors have backup procedures which includes off-site storage of applications data.
   - OCI's IT continuity plan is fully integrated with the office's continuity plan.

Information Technology Policy and Principles

The following policies/principles were developed to guide the use of information technology.

1. **Development must use flexible systems concepts to ensure integration, connectivity and compatibility.**

2. **Development shall address the needs of all internal and external customers.**

3. **Standards must support established architectures.**
   - Where state standards exist, OCI will comply.
   - Standards shall emphasize compatibility rather than specific products.
   - Standards will be reviewed on a rolling basis, at least once per biennium.

4. **Employees shall have access to the technology, data, and applications required to do their jobs as effectively as possible.**

5. **Technologies are supported throughout their life cycle and**
   - Are treated as an asset that is planned for, budgeted, and amortized over their life cycle,
   - Are vendor- and staff-supported, as appropriate,
   - Are adequately documented, and
   - With respect to hardware, are replaced on a life cycle schedule.

6. **Architectures shall be appropriate, flexible and adaptable to change.**

7. **Project planning shall conform to the OCI Strategic IT Plan.**
   - Cost/benefit analysis will be considered in deciding on any project.
   - Project planning shall involve the business partners and will include due consideration concerning the impact of the project development on their normal duties.
   - Project planning will include pilots or phased-in implementation, as appropriate.
   - The OCI Strategic IT Plan shall be consistent with the goals established by the OCI Strategic Business Plan.
   - Data integrity is effective and user friendly.
   - System security is adequate and in place.
   - Project planning will include a review of third-party vendors.

8. **Planning must ensure optimum use of human resources.**
   - Training time for staff shall be included in all plans.
   - Training policies are put in place.
   - Project specifications shall include training.
   - Ergonomic considerations shall be incorporated.
   - Employees' IT training needs are evaluated yearly.

9. **Business resumption procedures are in place and tested.**

10. **IT staff is responsive and responsible to the needs of OCI employees.**

Technology Architecture

The ***technology architecture*** refers to hardware, software, systems, methods, and standards that an organization uses to develop and operate computer systems. It includes computer and telecommunications equipment, operating systems software, communications software, office support systems, methods for developing and maintaining systems, and the organization's technical standards.

Current Technology Architecture

- The current technology consists of separate hardware platforms and their respective operating system software. The technology platforms are: Compaq/HP servers running Microsoft Windows 2000 server operating systems and Oracle for the common databases.
- A Linux Server for the State Life Insurance Fund (SLIF) and its Flexible Insurance Marketing, Management and Administration System (FIMMAS).
- A Storage Area Network (SAN) for storage for the Oracle databases and image files from the imaging applications.
- A Compaq/HP server running Microsoft Windows 2000 server operating system for the Patients Compensation Fund (PCF) to run the Claims and Provider systems. Staff at Employers Insurance of Wausau connect to this system using a Virtual Private Network (VPN).
- Two Novell NetWare servers used for file and print services.
- Microsoft Office XP software suite, for all OCI staff, which is composed of the following packages: Word, Excel, Access, and Power Point.
- Outlook 2002 connected to a Microsoft Exchange 5.5 server for e-mail and scheduling functions. The Exchange server has connections to the State enterprise Exchange server.
- Microsoft Internet Explorer as the office's web browser.
- A CISCO PIX firewall for protecting the OCI network from attacks originating from the Internet.
- Windows 2000 production and test application servers running Weblogic J2EE compliant software.
- Windows 2000 server running Oracle 9i RDBMS and Tomcat for Web data lookup applications.

OCI continues to improve on the common Oracle database and Delphi and JBuilder programming components. The staff has been trained to use these tools. The imaging projects use Image Lib to view the images. A Delphi system is written to access and store the data in an Oracle database. This promotes the efficient completion of imaging applications.

OCI adopted the Microsoft office suite in April 1994. At that time, OCI identified all of its staff as "knowledge workers", according to the DOA standard. At this time, all staff members have a PC attached to the OCI LAN. All desktop PCs are at the minimum level of: 2.0GHz Pentium 4 CPU, 512 MB of memory, 19 inch monitor, and running Microsoft Windows 2000 Professional operating system. Mobile users have IBM laptops with a minimum configuration of: 933 MHz Pentium III CPU, 256 MB of memory, and 14.1 active matrix screens. As staff uses the new equipment, ergonomics of the workplace will be monitored and adjusted as needed and appropriate.

The LAN environment at OCI includes all the external entities that OCI communicates with or plans to communicate with electronically. All desktop and laptop computers are connected to the OCI LAN, which provides access to all external entities as well as printers or other devices that are attached to the LAN. Computers are attached to the LAN using TCP/IP protocol over a Gigabit Ethernet network.

Future Technology Architecture

OCI has a base budget amount for infrastructure investment. This amount was determined using the DOA/DTM IT Infrastructure model. Each biennium the OCI technology infrastructure will be reevaluated to determine the adequacy of the base budget amount. The budget process will be used to ensure that OCI's technology base is maintained and updated, as appropriate. This will ensure that OCI can continue to serve the citizens, insurance industry, and the State of Wisconsin at a level that has become expected of OCI.

Each future project will analyze the best information delivery method available. One assumption is that Internet technology will be considered as a means to make information available. Data is made available to remote users with the use of a browser. Internet technology will continue to be used internally for communications, and office policies and procedures (Intranet).

Remote computing will be expanded for OCI activities, company submissions, agent filings, and public information needs. Communications with the office will continue to be upgraded. The Internet and Intranet will be used for communications. E-mail will migrate to the DET E-Mail Consolidation standards.

Novell Netware servers will be eliminated to only have one network operating system. Services will be provided by several Windows 2000 servers.

As the technology architecture evolves, security will continue to evolve to protect the information assets of OCI. OCI will look to DET to provide enterprise level leadership in this area. OCI has a very good security record, but as the office uses more Internet applications in its business, security will continue to evolve to provide the same high level of protection. This may involve enterprise level as well as local implantation of security measures.

Our future direction for Web applications is to capture data via the Internet. This will use the Enterprise WAMS security modules for authentication.

Application Architecture

The ***application architecture*** refers to the automated processes or systems that an organization uses to support its programs and to provide service to its customers, employees and the general public. The application architecture also includes the interrelationship among applications in terms of sharing data, access to applications, and the presentation of applications to business partners.

Current Application Architecture

Major parts of the current applications are not fully integrated. The current application architecture is not fully integrated because of the different technology platforms at OCI; the Funds, by statute, are segregated from the regulatory operations of the office and do not share business operations data. OCI is achieving the benefits of integration by using Oracle data and periodic refreshes of data. However, certain administrative operations such as expense vouchers, purchase order forms, and payroll apply to the Funds as well as the regulatory arm of the office.

Imaging software has been installed and is integrated with the new Complaints system. Other applications have been installed to take advantage of imaging to reduce paperwork and improve the workflow, including agent licensing documents, SLIF documents, rate and policy form documents, and insurance company organizational documents.

OCI's application architecture by technology platform follows:

Oracle/Delphi/JBuilder
- Premium Tax
- Commissioner's Annual Report
- Company Exam Assessment
- Financial Data Definition
- Financial Data Entry

Oracle/Delphi
- Complaint tracking
- Producer Document Management
- Company Document Management
- Policy Form and Rate Filing Document Management
- SLIF Document Management
- Legal Tracking

Oracle/JBuilder/Web
- Producer Lookup
- Company Lookup
- Registered Agent Lookup

Oracle/COSMOS
- Company
- Policy Approval and Rate Tracking
- Producer Licensing (Agents, EBPAs, Corporations, etc.)
- Registered Agent
- Invoice
- Risk Purchasing Group

Oracle/Linux/Developer
- Provider System for PCF that is supported internally

Appx

- FIMMAS for SLIF that supports policy administration

MS ACCESS, MS EXCEL and MS WORD

- Exam Tracking Systems
- Financial Statement Check-in Scanning System
- Financial Systems

Dbase

- Service of Process

Microsoft Access is now the standard for an ad hoc query and report tool. This allows business partners access to data at any time so that they can perform their own queries and create their own reports. ACL software is being used as an auditing tool for insurance company data analysis on financial and market conduct examinations. Oracle, JBuilder, and Delphi software is the application development standard and several systems have been put into production this past year. The NAIC's System for Electronic Rate and Form Filing (SERFF) application has been fully installed and is functioning as a workflow management tool to track approval of policy form filings and submission of rate filings for those insurers who avail themselves of the system. TeamMate software is installed on the LAN and on laptops to manage the documentation of on-site and off-site examinations and studies. TeamMate is used for both financial and market conduct examinations.

Future Application Architecture

The vision for all OCI future applications is integration into two common data bases. Other existing databases will be converted and integrated with either the COSMOS or the OCI common database and application interface.

The workflow of each business application will be examined and, where possible, improved. The applications will reflect this in their design.

OCI will continually seek new technology opportunities to support business needs. This could mean more use of Web-based applications, aggressive partnering with other states, or other types of cooperative development. Such efforts will however be firmly rooted in the OCI programmatic mission.

To achieve integration between data sources, there will be periodic data refreshes of necessary COSMOS data to the OCI common database for use in the Delphi/Oracle/JBuilder and MS-Access applications. The systems currently in dBase, and MS ACCESS (see the listing under Current Applications) will be converted in the future.

Projects to complete include:

- Examination Tracking
- Financial Statement Scanning
- Service of Process
- Personnel Data Collection to be Used for Security
- Training Database

Data Architecture

The ***data architecture*** refers to the organization or design of data (numbers, text, graphics, image, voice, etc.). It deals with developing a plan or model of how the data should be organized to support the business requirements and subsequent building and managing of data structures according to that plan. Data administration refers to the administration of the plans and "models" of the data architecture, while data management refers to the overall management of the actual data (where and how data is collected, accuracy is maintained, data are updated, and appropriate security and privacy controls are implemented).

Current Data Architecture

The current data architecture is based on Oracle's RDBMS. OCI uses two Oracle instances to store data required by the primary production applications. Producer, Company, Rates and Forms, and Invoice data are in the COSMOS database instance. Complaints, Producer Documents, Company Documents, Rates and Forms Documents, SLIF Documents, Legal, Premium Tax, and Financial data are stored in the OCI Common database. Data integrity validation is performed both in the application and database. Periodic data transfers are performed between the instances to refresh data used to validate what is stored in the different instances. SLIF data are validated and stored in APPX tables. PCF data is stored in another Oracle database instance using Oracle rules for validating.

Future Data Architecture

The vision for OCI data is the same as for the applications. That vision is functional integration. PCF data will be analyzed and included in the Oracle database. The Oracle data model will be continuously evolving based on the regulatory business needs.

Using client/server and J2EE technology, presentation of data can be managed by business partners at the workstation. The validation and edit functions will be done on application servers. The actual storage of the data will be separate from applications and edits. This multi-tiered structure allows for greater flexibility and versatility.

Security Architecture

Security architecture refers to the software that protects the agency data including application, e-mail, and web site. Security also refers to access to the building site, to the computer rooms, wiring closets, security cables for laptops and tables set up for application security.

Current Security Architecture

Building Security—As part of OCI's move to GEF 3, significant security policies were implemented. Access to the floors that OCI occupies is limited to OCI employees and designated staff from building management. Access to the server room and data closets is even more limited. The physical access security system is maintained by the Capitol Police.

Network Security—A logon ID and password is needed for accessing the OCI network. The supervisor of the employee must initiate the request for an ID. The ID is created from the first letter of the employee's first name and up to 7 letters from their last name. Passwords need to be a minimum of 5 characters in length and must be changed every 40 days. The security system maintains the previous eight passwords to ensure the password has been changed when prompted.

External Connection Security—OCI has a Cisco Pix firewall installed between its network and the internet connection. The firewall blocks internet connections from reaching the OCI network unless a rule has been created to allow access to a specific server. OCI also has installed SurfControl SMTP anti-spam software. SurfControl also provides additional protection against infected e-mails by scanning every e-mail before it is delivered to the e-mail server.

Application Security—The supervisor of an employee must initiate the request to set up an ID with the proper application security. The logon ID is set up to match the OCI network logon ID. Applications developed at OCI require an Oracle database logon ID and password. The database security is independent of the OCI network security. Database roles and/or application privileges are enabled when a valid user logs into the application. The externally developed COSMOS application has security managed by the application. The COSMOS application roles are enabled when a valid user logs into the application.

Future Security Architecture

Building Security—No changes planned.

Network Security—As the OCI network is upgraded to Windows Active Directory the updated security system will be reviewed to determine if any new features should be incorporated into OCI's security policies. The goal will be to try and have one set of security policies for the different networks or applications that are accessed.

Application Security—A future project will be to consolidate the personnel information with the application security tables so that they are both able to be easily maintained. The DET WAMS security (or whatever replaces it) will be used to authenticate outside partners for data update and downloading of data. OCI will continue our attention to security for all areas of IT. We will add features as needed to provide security to hardware, networks, data, public information, the Internet site, and the Intranet site.

Organization Architecture

The ***organization architecture*** refers to the resources available for the implementation of information technology and how they are used in support of the organization's mission. OCI recognizes that human resources for IT must be deployed in an effective manner. The following concepts will be used for in-house IS staff.

- Appropriate training for IT resource needs, both in-house and off-site, is recognized as an integral part of the IT staff growth.
- The IT Strategic Planning Committee will monitor and review agency projects and priorities in the context of proper and sufficient IT resource utilization. Recommendations will be made to management. The IT Strategic Plan is approved by the full management team. Changes in project priority are recommended by the ITSPC to the two Division Administrators.
- Project teams will consist of appropriate IT staff and business partner staff to be drawn from all of the affected areas to ensure that projects are completed on time, on budget, and according to specifications.
- IS staff and contractors will support OCI's technology needs.
- IS staff will be assigned to on going needs and contractors will be used for short-term projects and technology expertise.
- Projects will be controlled using Project Management techniques such as change control, requirements documenting, scope definition, project sponsorship by executive staff, project reporting of work and milestones by both the IS staff and business partners working on the project.

Current IT Support

FTE	***Information Services Staff***	***Contractors***
2.00	Technical Support 1 IS Specialist/Network Administrator – Jim Angus 1 IS Senior/LAN Administrator – Scott Bradach	1 Help Desk Support Chris Mooney
5.25	Application Development 1 IS Applications Manager – Steve Nickell 3.25 Programmer/Analyst – Kaz Wojtkow, Robert Climie, Theresa Daggett, Ben Schilling 1 Programmer/Analyst (PCF Project Only) – Bee Vang	2 Programmer/Analysts, Jayaram Sadasivam; Saikat Sengupta
.25 1.00 1.00	Telecommunications – Ben Schilling Data Base Administrator – Jack Ellis IT Director (MIM) – Judi Werner	

Future IT Support

In the future, OCI will continue to rely on both contracted and permanent staff. OCI recognizes that some tasks are better accomplished in-house, while other tasks would be better completed by the use of contractors or third party vendors. DET, along with all state agencies, will formulate Enterprise projects that will be monitored and adhered to. Two future projects include e-mail and server consolidation. These projects could possibly impact OCI IT operations and support. Dialogue will continue on how to best incorporate IS staff. The critical importance of the IT Strategic Planning Committee is again highlighted here, for it is in the IT Strategic Planning Committee where discussion as to the priority of tasks will take place. Recommendations on changes to priorities will be made to the two Division Administrators.

The IT Strategic Planning Committee has defined and recommended a list of IT functions. The functions designated as centralized are supervised by the IS Director. Business area supervisors will supervise the functions listed as distributed, as appropriate. Some functions may be considered both centralized and distributed as indicated in the following table. The planning team recognizes that some parts of these functions can be performed at the business area. At the centralized level there may be some coordination/oversight or the

business area may choose to have the centralized group perform the function for them. As this plan goes forward, those decisions will be made and documented.

An IT project planning process has been created. All business area IT projects are reviewed by the IT Strategic Planning Committee. The two division administrator sponsors then review and prioritize all projects for IS Section work planning. This process is used to monitor how the resources are assigned and teams formed when projects overlap areas.

Function	Centralized	Distributed
Acquisition	X	
Ad Hoc Training		X
Applications Development	X	X
Applications Maintenance	X	X
Data Administration	X	
Database Administration	X	
Database Production	X	
Data Entry		X
Disaster Recovery	X	X
Documentation	X	X
EDI Support	X	
External IT Liaison	X	X
Forms Design and Management	X	X
GIS Administration	X	
Hardware Maintenance	X	
Help Desk	X	
IT Management	X	X
IT Project Management	X	X
LAN Administration	X	
Standards and Enforcement	X	X
System Administration	X	
Technical Support	X	
Telecommunications Administrative Support	X	
Training	X	X
WEB development -- Internet	X	
WEB development -- Intranet	X	X

Fiscal 06 and 07
July 1, 2005 to June 30, 2007
June 2004 Ranking of Projects

List of Strategic Projects

Maintenance Activities

This type of activity is allocated 30% of the available programming hours. Unless there are exceptional circumstances the hours will be allocated evenly over each quarter.

SPONSOR(S)	**PROJECTS IMPLEMENTED With Known Maintenance Activity**	**Priority**
Randy Milquet	Commissioner's Report – Financial Tables	1
Annette Byrnes	Complaint File & Tracking System	
Sue Ezalarab	Rate and Form Filing Indexing Backfile	
Byrnes, Ezalarab, Landphier, Sherry	Imaging (Complaints, Producer, SLIF, Company, Rate & Forms)	
Randy Milquet	Financial Element Definition/Data Entry	
Sue Ezalarab	COSMOS maintenance and upgrades	
Ezalarab, Landphier, Sherry	COSMOS reports	
Jo LeDuc, Randy Milquet	Desktop and laptop maintenance and upgrades (including TeamMate, etc.)	
Fred Thornton	Revenue Collection (Premium Tax, Dues, and Fees)	
Peter Medley	Company Exam Assessments	
Sue Ezalarab	Automated Call Distribution System	
Mary Sprague	SLIF Implementation of Ins. Financial Mgmt. System	
Bob Luck	Legal System	
Theresa Wedekind	PCF	

Enhancement Activities for 2005-2007

This type of activity is allocated 20% of available programming hours. Unless there are exceptional circumstances the hours will be allocated evenly over each quarter.

	SPONSOR(S)	**PROJECTS IMPLEMENTED With Known Enhancement Activity**	**Priority**
Small/Medium	Judi Werner	Imaging capture software and hardware replacement	1
	Randy Milquet	Financial Element/Data Set/Data Entry	2
	Peter Medley	Company Exam Assessment	3
	Fred Thornton	Premium Tax	4
FINISHED	Sue Ezalarab	PC server for ACD system	5
	Annette Byrnes	Complaint File & Tracking System	6
	Annette Byrnes	Complaint Satisfaction Survey	Rank in Dec
	Bob Luck	Legal System	hold
FINISHED		SERF API	?

Remaining Projects to be Completed During FY05
July 1, 2004 – June 30, 2005 (or sooner)

	SPONSOR(S)	**PROJECTS PLANNED FOR 2004**	**Priority**
FINISHED	Randy Milquet	Commissioner's Report – Financial Tables	1
FINISHED	Yvonne Sherry	Transaction Register	2
Large	Randy Milquet	Financial Element/Data Set/Data Entry	3
Medium	Annette Byrnes	Above Average Complaint Application	4
Medium	Matt Berigan	Service of Process (convert dBase System)	5

NEW PROJECTS

This type of activity is allocated 50% of available programming hours. Unless there are exceptional circumstances the hours will be allocated evenly over each quarter.

	SPONSOR(S)	PROJECTS PLANNED FOR 2005-2007	Priority
Large	Candy Buckles	Staff and Application Management System • Human Resource • Training • Staff Services • Management • Application Systems • Payroll	1
Medium	Laurna Landphier	Download Company Billing Lists from Web	2
Too Big	Tim Mero	Online Biennial Budget System	3 b
Large	Sue Ezalarab	WEB access – rate/forms	4 c
	Matt Berigan	Rates-FormsToEnterprise-ROI Form 2-23-04	4a
	Sue Ezalarab	SIRCON.GOV Analysis	5
Medium	Sue Ezalarab	SIRCON.GOV – rate/form	5
Small/Med	Yvonne Sherry	SIRCON.GOV - Company	5
Small	Laurna Landphier	SIRCON.GOV – Producer Licensing	5
Small/Large?	Judi Werner	SIRCON.GOV – Imaging Integration	5
	Sue Ezalarab	WEB access for complaint correspondence	6
Small		• Consumer File On-line	6
Small		• Send correspondence to insurance entity electronically	6
Small		• Accept responses from insurance entity electronically	6
Small		• Correspond with Consumer and Representatives	6
	Kathy Keleher	TRAINING SYSTEM	7
Small		• On-line Request/Routing	7
Small		• Data conversion	7
Small		• Reports	7
Small		• WISMART Reconciliation	7
Small		• Link to Out of state Travel Form	7
Small		• Integrate with Vendor file	7
Small	Andrea Nelson	Project 33 contracts DET-IT Project-ROI Form 2-23-04	8
Small	Tim Mero	Expenditure Projection & Monitoring System	9
Small	John Montgomery	IT Project – Re-engineer Inventory System	10
Large	Yvonne Sherry	Exam Tracking	11
Medium	Matt Berigan	Production statistics for performance data ROI Form 2-23-04	12
Layer in as filler to other projects Small Average of each form	Dick Hinkel/Sue Ezalarab	• Forms have been developed for filing o OCI 22-061 HMO Compulsory Surplus Calculation 11/15/04 o OCI 22-308 Domestic Property and Casualty Compulsory Surplus Calculation 11/15/04 o OCI 22-309 Domestic Life and Accident & Health Compulsory Surplus Calculation 11/15/04 o OCI 22-310 Domestic Health Compulsory Surplus Calculation 11/15/04 o OCI 22-008 Nondomestic Property and Casualty Compulsory Surplus Calculation 11/15/04 o OCI 22-009 Nondomestic Life and Accident & Health Compulsory Surplus Calculation 11/15/04 o OCI 22-062 HMO Enrollment By Service Area—Small Group 3/1/05 o OCI 22-063 HMO Enrollment By Service Area—Large Group and Other 3/1/05 o OCI 22-311 Financial and Operating Statistics – Health 3/1/05	

		o OCI 26-903 HMO Data Collection o OCI 26-053 Product Liability Insurance Report Part I o OCI 26-053 Product Liability Insurance Report Part II o OCI 26-054 Product Liability Insurance Report Part III o OCI 26-055 Commercial Liability Insurance Report Part I o OCI 26-055 Commercial Liability Insurance Report Part II o OCI 26-007 PPP Grievance Report o OCI 26-007 LSHO Grievance Report o OCI 26-030 HMO Grievance Report o OCI 26-031 Grievance Report o OCI PI-046 Long-Term Care insurance Approved Policies in Wisconsin o OCI PI-010 Medicare Supplement Insurance Approved Policies o OCI PI-206 Health Insurance for Small Employers and Their Employees o OCI 26-600 Market Conduct Annual Statement Contact Form o OCI26-301 Long term Care Exp o OCI 26-300 Medicare Suplement Exp	6/15/05 5/1/05 5/1/05 5/1/05 5/1/05 5/1/05 1/1/05 1/1/05 1/1/05 1/1/05 8/01/05 12/1/05 9/01/05 10/29/04 4/1/05 4/1/05
Too Big	Theresa Wedekind	New PCF System	parallel
Small Small Large	Steve Nickell	Company Data Conversion Clean-up 1. Producer Data needed for CPL, LGL, Imaging 2. Company Data needed for CPL, LGL, Imaging 3. Re-do Company SubSystem	moot if we do SIRCON-gov for Complaints and Legal by July 2005—defer ranking to Dec
Too Big	Sue Ezalarab	SIRCON.GOV - Complaints	FY07-08?
Too Big	Bob Luck	SIRCON.GOV - Legal	FY07-08?
	a	If needed for 4 then this is 4a. If not then rank is 11.	
	a	If we do 4, then this may not be needed.	
	b	Is this needed for the 2007-2009 Budget? We scheduled it for Jan 05.	
	c	We will be starting this in Document Management/Web Rates and Forms October 2004.	

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: **Expenditure Projection and Monitoring System** DIN # (if appropriate)
Agency: **OCI** Contact Name: **Tim Mero** Phone: 264-8114 Email: tim.mero@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:

This project would create an easy to read, easy to use system that will allow managers and supervisors to review their budget at any given point in time. It would include information on budget, expenditures, encumbrances, and projections of future expenditures. The FIRST system provides current financial data, but this new system would expand upon the FIRST system data by developing projections of future expenditures based on year to date spending patterns. It would also allow individuals to make adjustments to the projections to accommodate special situations such as one-time large expenditures.

OCI managers and supervisors are responsible for managing their units operations within the budget that has been allocated to them. In order for them to effectively manage their budget, budget status information should be easily accessible to them. Budget projections are currently being done manually. This project would automate the process and save staff time.

Why are we doing this project? (Check all that apply and **briefly explain**)

☒ The project supports the Governor's business goals? Which one(s)?
Increasing government efficiency and providing better information upon which to make management decisions.

☒ The project will reduce the cost of performing some business function(s)?
It will provide increased staff efficiency and will provide easily accessible budgetary information for use in making management decisions.

☐ The project will increase revenue?

☒ The project will improve customer service to ☐ citizens of Wisconsin, ☐ local governments, ☐ businesses, or ■ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☒ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: 12/01/04 Projected completion date: 6/30/05

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

Requirements gathering	1/15/05
Application development	4/15/05
System Testing	5/15/05
Production	6/30/05

- Please explain any business or other factors which affect the planned schedule for completion?

Project completion should be completed before the beginning of fiscal year 2006.

- What is the estimated useful life of the system or service provided by this project? 10 yrs
  Please explain the basis and assumptions of the estimate.
  - The system should be useful for a long time.
  - Minor enhancements will be needed as the budgeting methods of the agency change.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☒ New Development / Major Reengineering (Higher risk)
☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☒ New Development / Major Reengineering (Higher risk)
☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes?

☐ Yes ☒ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes ☒ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☐ Average Complexity ☒ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: **Staff and Application Management System** DIN # (if appropriate)
Agency: **OCI** Contact Name: **CANDY BUCKLES** Phone: 266-0376
Email: candy.buckles@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:

DESCRIPTION: This system will be a repository of employee current and historical information. It should contain the following subsections:

Human Resource: Budget, salary, training, demographics (age, race, sex, disabilities, etc.), social security number, position number, various history elements, position information history, supervisor, designations, awards (salary, etc.), PPD, education, committees, floor captains, EMT, CPR, languages, emergency contacts, photo ID, staffing information.

Training: Demographics, position, telephone number, salary, budget, who employee reports to, work unit, books checked out, designations.

Staff Services: Substitute skills, languages spoken, parking assignment, and access cards.

Management: Salary, training, history of employee and position, progression statistics, emergency contacts, languages, demographics for unit, exit interview information, cellular phone number, pager number, appointed position information including reinstatement and restoration rights, surplus position numbers, ethics report.

Application Systems: Name, position, unit of work, signature and signature block, supervisor, location, work schedule, internal work phone, fax number, internet e-mail.

Payroll: Benefits, demographics, emergency contacts, salary, time and attendance records, tracking new employee deadlines, module for exiting, monitoring outside agency employment, military status.

MISSION: This project is intended to expand and enhance a core application that now exists in separate applications with limited access to the information. This system will provide a core human resource function but also provide other opportunities to improve service to the agency (supervisors, management, and individual employees).

The application will ensure continuity and confidentiality of certain data elements.

This project will allow management to have better analytical tools to manage the agency resources.

BENEFITS: There will be better service for supervisors and managers. Employees will for the first time have easy access to their own personal data. This will help ensure that staff information is kept up to date. Some reports will be

done automatically and the data will be available for ad hoc/mandatory reporting. The net result will be improved management information.

SAVINGS OFFSETS: The agency currently has two HR positions. Comparable agencies usually have a staff of three for this function. This system should enable the agency to defer the cost of a third HR position for the foreseeable future resulting in a saving of $50,000 for every year deferred.

Why are we doing this project? (Check all that apply and **briefly explain**)

x☐ The project supports the Governor's business goals? Which one(s)?
Government efficiency

☒ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

☒ The project will improve customer service to ☐ citizens of Wisconsin, ☐ local governments, ☐businesses, or ☐ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? ____ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?
Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☒ New Development / Major Reengineering (Higher risk)

☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☒ New Development / Major Reengineering (Higher risk)
☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes?

☐ Yes ☒ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes ☒ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☐ Average Complexity ☒ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:
It will depend on the service bus to get the data directly from payroll or PTWeb.

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

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Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: **Re-engineer Inventory System** DIN # (if appropriate)
Agency: **OCI** Contact Name: **John Montgomery** Phone: 264-8113
Email: john.montgomery@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:
Current OCI inventory information is maintained to satisfy various reporting requirements including GAAP financial reporting, inventory control, risk management, and IT replacement schedules on equipment valued at $5,000 or more (or a conglomeration of items). A new system is needed to be comprehensive, enable access by multiple users, and generate a range of reports to satisfy external and internal reporting needs. Ideally all equipment above a certain dollar threshold, e.g., $100 unit cost, would be included in the system to ensure a full accounting of all property items owned by OCI for insurance, inventory control purposes, and budget replacement schedules. The system would be utilized primarily by Administrative Services but would cover and be maintained by all units, providing information on the age, location, user, maintenance contracts and repair records of each piece of equipment. Reporting capability would cover property by value, age, nearness to replacement, user, etc.

Why are we doing this project? (Check all that apply and **briefly explain**)

☐x The project supports the Governor's business goals? Which one(s)?
Government efficiency.

☐x The project will reduce the cost of performing some business function(s)?
Once operational, the system should be relatively easy to maintain and reduce the need to fulfill ad hoc information requests. The agency will be able to make decisions on the need to replace equipment – replacing equipment only when it's useful life is met or it's repair record indicates is cost effective.

☐ The project will increase revenue?

☐x The project will improve customer service to ☐ citizens of Wisconsin, ☐ local governments, ☐ businesses, or **x**☐ within State government?
It will be easier to provide information to other state agencies.

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☐ x This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: 01/01/06 Projected completion date: 06/30/06

☐x Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain. *No.*

- Describe major project components or deliverables with target completion dates:

A use case requirements document would need to be prepared prior to starting work on the project.

- Please explain any business or other factors which affect the planned schedule for completion?

It should be noted that the system developed will only be fully useable after all equipment in current inventory systems is contained in the new system and all equipment not currently inventoried has been inventoried and tagged.

- What is the estimated useful life of the system or service provided by this project? *10 yrs*
  Please explain the basis and assumptions of the estimate.

Any system that is fully functional should be able to stand alone for at least 10 years to justify doing.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
☐x Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
☐x Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes ☐x No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes ☐x No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☐ Average Complexity ☐x Low Complexity

Platforms/OS/Key Interfaces

Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

A new inventory system ideally ties in with our budget system so that items coming in need of replacement can be fed into the budget system.

Enterprise Architecture

Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks

Please explain any other risks or dependencies?

The primary risk is that once the system is developed, it must be maintained because it must be kept up to date or it loses its value.

Risk Mitigation

Please explain how the risks with the project are mitigated?

Only through an education process and the assignment of specific inventory responsibilities in the PDs of selected positions will this risk be overcome.

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

Most agencies that have such systems have developed their own unique systems. It would be preferable to have one common system developed for all of state government that would be required to be used in all agencies, providing both statewide information and info for individual agency needs as well. An enterprise system would be easier to maintain, preclude the need for individual agencies to develop their own and ensure that any system used is the common system.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

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- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No___X__

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

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General Project Information

Project Name: **Online Biennial Budget System** DIN # (if appropriate)
Agency: **OCI** Contact Name: **Tim Mero** Phone: 264-8114 Email: tim.mero@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:

OCI submits its biennial budget to the Department of Administration on September 15th of every even numbered year. The current budget is completed using a series of Word documents, Excel spreadsheets, and PDF files. Due to this combination of word processing documents and spreadsheets, linking of the information between documents is not possible and similar information must be entered and manually calculated in many locations. It is also difficult to convert the 272 page biennial budget into a format that can be easily placed on the Internet

Currently, each Word document, spreadsheet, and PDF must be printed out individually. The documents are then placed in order and manually numbered so that they can be sent out to be printed. The printed copy is sent to DOA and then staff there must key the information into their budgeting system.

This project would automate the budgeting process, thereby increasing accuracy and decreasing staff time. The various budget forms (e.g. B-2, B-3, B-7, B-8, B-10, etc.) would be automated and linked to provide totals where appropriate. The budget document will not only be able to be printed out, but will also be able to be submitted electronically to DOA and loaded onto the Internet.

Why are we doing this project? (Check all that apply and **briefly explain**)

☒ The project supports the Governor's business goals? Which one(s)?
This project will increase government efficiency by saving staff time not only in this agency, but also in DOA's State Budget Office (SBO). Currently, paper copies are printed out by OCI and then SBO staff need to manually enter this information into their budget system. Using the new system, we will be able to do a data transfer to the SBO's system. Printing costs will also be reduced because we will be able to publish the budget document to the Web for public viewing.

☒ The project will reduce the cost of performing some business function(s)?
Substantial staff time savings in both OCI and the State Budget Office.

☐ The project will increase revenue?

☒ The project will improve customer service to ■ citizens of Wisconsin, ☐ local governments, ☐businesses, or ■ within State government?
The budget documents will be more accessible to the public because they will be posted to the Web. There will be increased efficiencies between agencies because data will be transferred electronically rather than printed out and sent to the DOA for keying.

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☒ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: 12/01/04 Projected completion date: 4/01/06

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

Requirements gathering	3/1/05
Develop Forms	5/1/05
Create Input Documents	7/1/05
Application Development	2/1/06
Testing	3/1/06
Production	4/1/06

- Please explain any business or other factors which affect the planned schedule for completion?

Work would be done after the 2005-2007 Biennial Budget has been completed and must be finished before the 2007-2009 Biennial Budget process begins.

- What is the estimated useful life of the system or service provided by this project? 10 yrs
  Please explain the basis and assumptions of the estimate.

The system should be useful for many years. The system may have to be enhanced or changed slightly in response to any major changes in the state's budgeting process.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☒ New Development / Major Reengineering (Higher risk)
☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☒ New Development / Major Reengineering (Higher risk)
☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes?

☐ Yes ☒ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes ☒ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☒ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

Other agencies have their own automated systems, but each system has been modified to that agency's specific needs. Our agency may be able to use another agency's application and modify it to meet our specific needs.

- Any other comments about the potential benefit of this project to the enterprise?

An enterprise application would be the best solution but this has never been accomplished because of the large cost and because each agency has specific needs that are being met by their current sytems. OCI does not currently have an automated system and is willing to modify existing applications in other agencies to accomplish this project.

Return on Investment (ROI) Calculation Form

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To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

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- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

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General Project Information

Project Name: **Production statistics for performance data** DIN # (if appropriate)
Agency: **OCI** Contact Name:**Matthew Berigan** Phone:6-0110
Email: matthew.berigan@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:

DESCRIPTION: Production performance statistics are the measuring tool against which agency critical indicators are measured. Current disperse methods for collecting that data are diverse. Statistics are not only used in providing clear indications of how well the agency is meeting its mission but also provide an objective view for all program areas in viewing activities, the ebb and flow, for all other program areas. Some statistics are reviewed on a weekly basis. Other statistics are viewed annually or when necessary.

As a regulatory agency, OCI has long been concerned with performance. OCI uses performance based budgeting and assesses the outputs and outcomes of the services provided to make sure that it is using its resources appropriately and efficiently.

MISSION: Develop a centralized repository for all critical indicator statistics in which appropriately authorized staff can provide regular updates in a simple fashion. Entry forms for the collected data should be easily accessible from any OCI desktop. Data originated from other office applications must be easily routed to the central repository automatically. Provide online report views to that centralized data for easy display of current collected material in a manner consistent with the following examples:

- Complaints logged (from Complaint System)
  - Number of complaints logged last week (closed, remaining open)
  - Number of complaints logged last month (closed, remaining open)
  - Number of complaints logged during indicated period (enter a date range)
- Reception Desk Phone Log
- Daily calls logged (yesterday's total, after-hour or weekend, avg. response time, abandoned calls)
- Weekly calls logged (last week's total, after-hour or weekend, avg. response time, abandoned calls)
- Monthly calls logged (last month's total, after-hour or weekend, avg. response time, abandoned calls)
- Call logged by period indicated (enter a date range)
- Central Files
- Mail Desk
- Help Desk problems reported

- Performance measures used in the biennial budget process
- Number of financial examinations
- Number of market conduct examinations
- Consumer complaints handled in a timely fashion
- Policy form reviews
- Development and distribution of consumer education materials
- Updates to the Web site.

- Etc.

BENEFITS: A common repository for performance data assures that 1) data is current and collected as required, 2) reporting of performance data is easier and can be assembled as needed when needed, 3) workflow process models can be easily viewed to identify exceptions to normal or expected standards. The ability to view performance statistics as needed allows not only the flexibility in developing staff schedules to meet the peaks and valleys of regular business cycles but additionally allows staff from various program areas to have a clearer understanding of the overall business efforts ongoing in areas where they are not directly involved. This improves overall awareness of agency efforts to meet the goals of the mission statement.

SAVINGS: The most immediate savings are for those that must currently assemble data from disperse sources to compile reports and restructure the supplied data into appropriately formatted reports. The data can and should be made viewable in the format in which it will be reported. Additionally, if designed with data entry in mind, entry of data can be made from desktop browser-based entry screens and not require additional knowledge of other desktop tools nor require additional time to locate and open files where data is stored. Links to procedures will be established directly from the data entry screens. The data will be stored centrally and securely backed up.

Why are we doing this project? (Check all that apply and **briefly explain**)

☒ The project supports the Governor's business goals? Which one(s)?
Efficiency, Grow Wisconsin

☒ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

☒ The project will improve customer service to ☒citizens of Wisconsin, ☐ local governments, ☒businesses, or ☒ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☒ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: 08/01/2004 Projected completion date: 08/01/2005

☒ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:
  - Internal performance data is primary target for the first phase.
  - Identify critical data elements/topics that are workflow process indicators or industry health indicators (12/01/2004).

- Create prototype views of the performance data to determine how best to represent the data so that executive management can assess the effectiveness of the presentations (10/01/2004).
- Verify that critical performance data is secured in the agency enterprise database or equally secure environment (11/01/2004).
- Identify needed tools for mining the data and representing it in as automated a process as feasible for internal (or external) web publishing (12/01/2004).
- Take all previous steps to develop a complete project plan if executive management determines the need is appropriate (01/15/2004).
- Complete a design and begin construction of an integrated/automated reporting system (08/01/2005)

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? 5 yrs
  Please explain the basis and assumptions of the estimate.

This is simply a guess based upon changes to technology and agency priorities.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
☒ Upgrade / Maintenance (Lower risk)

Application (Check one)

X☐ New Development / Major Reengineering (Higher risk)
Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes ☒ No If yes, please briefly explain.
The answer is “no” but it is the intent that this effort will result in improving the understanding of current processes such that work flow processes can be improved.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☒ Yes ☐ No If yes, please explain.
Increasing the ability to assess and report on internal process will achieve better management focus on “right-sizing” agency efforts.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☒ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? **YES** Have opportunities for collaboration been identified and/or discussed with these agencies? **NO** Please explain.

There are many functions within all state agencies that are common yet all agencies also have their own special constituent care requirements and degrees of requisite knowledge required to address their missions. Where common roles and functions exist across agencies, measurable performance data can be used to define solutions where efficiencies of scale can be substituted as enterprise solutions.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: **Contract Database/Reporting** DIN # (if appropriate)
Agency: **OCI** Contact Name: **Andrea Nelson** Phone: **608-267-4552** Email: **andrea.nelson@oci.state.wi.us**

Provide an Executive Summary to describe the key points of the project:

DESCRIPTION: Creation of a system is desired to track both progress and history of contracts for services resulting from either the request-for-proposal process or sole source waivers. The system would replace information currently tracked both in electronic spreadsheet and paper form, thereby providing centralized data collection, enhanced query/reporting capabilities and, ideally, automatic tickler notification features as well.

Data fields would include: Contract number, contract name, responsible program staff, responsible purchasing staff, union notification letter date, justification memo to commissioner date, request for proposal drafted, contract sample drafted, vendor list developed, request for purchasing authority checklist completed, included on quarterly procurement plan submitted to DOA, request- for-proposal (RFP) issue date, legal notice dates, names of proposing vendors, evaluation team meeting dates, letter of intent to award date, protest date, appeal date, contract signed date, purchase order encumber date, affirmative action (AA) plan submitted, AA plan reviewed, AA plan accepted, contract start date, contract first renewal date, contract second renewal date, contract third renewal date, contract fourth renewal date, estimated annual value of contract, vendor name, actual amount spent each fiscal year per contract.

Desired features would include:

- Automatic tickler notification to contract specialist and program person based on contract expiration date. Tickler would signal that request for proposal needs to be developed so that the contract for services may be rebid, and/or that contract renewed by mutual agreement.
- Other notification features based on contract-signed date.
- Ability to query by contract name, program name, dollar value of contract, vendor name, etc.

MISSION: This application would facilitate tracking contracts in progress. The automatic tickler feature would help to assure that expiring contracts are not allowed to lapse unintentionally. By providing historical look-up and query features, contract spend information would be centrally and readily available..

BENEFITS: Use of the database would increase administrative efficiencies by tracking all phases of RFP and contract development and renewal in a unified system. Historical records would also be more easily accessed via this system.

SAVINGS OFFSETS: OCI currently has annual contracting at over $9 million. Proper management of these highly technical and specialized contracts is vital to the ongoing functions of the agency.

Why are we doing this project? (Check all that apply and **briefly explain**)

☒ The project supports the Governor's business goals? Which one(s)?
Accurate data readily available.

☐ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

☒ The project will improve customer service to ☐ citizens of Wisconsin, ☐ local governments, ☐businesses, or
✶ **within State government?**
Having central database of agency contracting information will provide readily accessible data re: actual contract costs of administering programs: segregated funds, agent licensing testing, etc., financial examination's actuarial services, and COSMOS.

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☒ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain**. No.**

- Describe major project components or deliverables with target completion dates:

Unscheduled at this time.

- Please explain any business or other factors which affect the planned schedule for completion?

This project has been given a low priority within the agency.

- What is the estimated useful life of the system or service provided by this project? **10** yrs
  Please explain the basis and assumptions of the estimate.

Development of statewide enterprise applications may make database obsolete.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes ☒ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

Only in that it would facilitate access to cost/spending data for administration of programs.

☐ Yes x☐ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☐ Average Complexity ☒ **Low Complexity**

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.
Interface with Wismart for encumbrance/spending info would be desirable, but not necessary.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies? **To the best of my understanding this is a database application that is simple, low risk, low dependency.**

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

We are unaware of how other agencies monitor contracting processes and encumbrance/spend data, and have not approached other agencies regarding.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: **Add OCI Enterprise index to all rates and forms** DIN # (if appropriate)
Agency: OCI Contact Name:**Matthew Berigan** Phone:6-0110
Email: matthew.berigan@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:

DESCRIPTION: In order to allow on-site public controlled access to an index of all rates and forms add all rates and forms indices to OCI Enterprise. Researchers will still need to have Central Files provide access to SIRCON documents. OCI scanned images, SIRCON and SERFF indices will be provided. Researchers can see OCI scanned items with Enterprise and also use SERFF to view their material.

MISSION: Provide researches with access to all rates and forms indices to enable them a single reference point.

BENEFITS: This reduces the amount of time that Central Files staff must dedicate to assisting on-site researchers. It is also useful for in-house staff using Enterprise to look-up rate/form information (although most would use Cosmos to do this). It is also probably not to difficult to add to Enterprise which is the only tool currently securely available to researchers.

Why are we doing this project? (Check all that apply and **briefly explain**)

☒ The project supports the Governor's business goals? Which one(s)?
Government Efficiency

☒ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

☒ The project will improve customer service to ☒citizens of Wisconsin, ☐ local governments, ☒businesses, or ☒ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

The project is needed to comply with enterprise or agency technology standards.

☒ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: ??/??/2004 Projected completion date: ??/??/2004

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? 1 yrs
  Please explain the basis and assumptions of the estimate.

Eventually insurance company rates and forms should be available via the OCI web site and other national sources of information.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
☒ Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
☒ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes?

☐ Yes ☒ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes ☒ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☐ Average Complexity ☒ Low Complexity

Platforms/OS/Key Interfaces

Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? **No.** Have opportunities for collaboration been identified and/or discussed with these agencies? **No.** Please explain.

Would require enterprise-wide collaboration to provide a means to access information related to regulated industry documentation.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

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General Project Information

Project Name: **TRAINING SYSTEM** DIN # (if appropriate)
Agency: **OCI** Contact Name: **KATHY KELEHER** Phone: 266-0080
Email: *Kathy.keleher@oci.state.wi.us*.

Provide an Executive Summary to describe the key points of the project:

DESCRIPTION: By law, agencies are required to keep employee training records. The following list is presented as part of a project that will help keep these records electronically and easily accessible.

- Revise the data structure to link to existing employee and budget information.
- Create new on-line forms, which allow user input replacing the existing yellow training request.
- The new form filler will enter the needed data into the database.
- This form needs to have the capability of routing for appropriate approvals.
- The existing training inventory sheets should be loaded to set up a preplanned training program for each person.
- A quarterly report routed to supervisors detailing training attended by each individual in the section should be programmed. This report should be available on-line for employee and supervisor lookup at any time.
- There should be a reconciliation with the actual WiSMART data for the standard budget reports.
- There should be a list of continuing education credits for each person.
- Existing (or repeating) courses should be in a pick list on the training form screen.
- Data should be able to be viewed in different ways (e.g., sort requests by approval status, sort forms by budget requirements, sort all approved reports by work unit, etc.)
- Fields that need to be filled in will have edits.
- Link out-of-state travel form to training request if appropriate.
- When the travel voucher goes to the accountant, there must be a way that the accountant can check on appropriate training and out-of-state travel form approvals.
- Add a report that breaks down the units, has the amount budgeted for the unit, how many FTEs for the unit, how much the total salary is for the unit, the budget amount, and a percentage of the unit payroll for the training budget.
- The OCI system should be integrated with the Vendor File at DOA.
- The system should be linked to e-mail for notifications.

MISSION: This project is intended to provide an improved training system. The integration with other systems (budget, employee, WiSMART, vendor files) will expand information sharing. This project will enhance a supervisor's ability to effectively manage the agency's most expensive resource, the employees.

BENEFITS: As the insurance marketplace changes, new regulatory knowledge and skills are required. Keeping existing employee skills up-to-date is less expensive than recruiting and training new staff. In addition, this project is part of giving employee input into managing their own careers. By giving access to both staff and supervisors, this project will foster better communication between supervisor and employee.

SAVINGS OFFSETS: This project generates two types of salary offsets. The first is through deferring the need for additional training staff. The office currently has one training officer. The increasing workload will require an additional position in the next biennium or the one after. By replacing several manual subprocesses and enhancing other parts, the automation of this system will delay the need for the additional position resulting in a cost savings of ($50,000) for each year delayed.

The second type of savings is in restraining the need for increased program unit staff. OCI has achieved high levels of staff efficiency in program units by a strong training program. This means that additional staff needs are restrained. The cost savings for each position deferred are significant. For instance, one financial examiner costs about $40,000 per year for every year deferred.

Why are we doing this project? (Check all that apply and **briefly explain**)

X☐ The project supports the Governor's business goals? Which one(s)?
Government Efficiency

☒ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

☒ The project will improve customer service to ☐ citizens of Wisconsin, ☐ local governments, ☐businesses, or X☐ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? ____ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes x☐ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes x☐ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☐ Average Complexity x☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

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Hardware						$0
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Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

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- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

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FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
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GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
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GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

General Project Information

Project Name: **Use Cosmos data from OCI.exe** DIN # (if appropriate)
Agency: **OCI** Contact Name: Steve Phone: 6-2461 Email:

Provide an Executive Summary to describe the key points of the project:

Internal Note: This project would replace several items in Issue Tracker (188,190,290-294). A few of these items were completed but problems still exist. Since the data structures are different, there are some instances where it is like trying to place a square peg into a round hole. Until this project or the items in Issue Tracker are completed, a number of the data elements used by the OCI Enterprise application will remain inaccurate, incomplete, and/or outdated.

The purpose of this project is to use the licensing data where it originates, which would eliminate or minimize the need to convert data between dissimilar data structures. This project is an alternative to the items in Issue Tracker and will provide more reliable and accurate data to the OCI Enterprise sub-systems.

The project can be done in several phases:

1. Modify the Complaints Tracking, Legal Tracking, and Producer Imaging subsystems within the OCI Enterprise application to use the Producer Licensing data directly from the Cosmos database. This phase would provide enough producer data to correctly select a producer and answer basic questions. There may be several reports that will need modification.

2. Modify the Complaints Tracking, Legal Tracking, Rates & Forms Imaging, and Company Imaging subsystems within the OCI Enterprise application to use the Company Licensing data directly from the Cosmos database. This phase would provide enough company data to correctly select a company and answer basic questions. There may be several reports that will need modification.

3. Modify the Company Licensing subsystem (including reports) within the OCI Enterprise application to combine the Company Licensing data residing in Cosmos with data that only exists in OCI Enterprise. The following data items will be modifiable or maintained within OCI Enterprise:
    a. Merger data
    b. Chapter data
    c. Forward/Backward pointer
    d. Amended Date
    e. Company Sub-Type
    f. LOA limitations
    g. History for par/non-par
    h. Location of pending applications
    i. Orders
    j. History of Nicknames
    k. Additional data required for the Transaction Register
    l. Additional data required for the Certificate of Authority and Cover Letters

Benefits:

- Data stays in sync since it isn't replicated or replication is minimized
- Data is available immediately or can be refreshed on demand
- Problems due to conversion are eliminated or minimized

Why are we doing this project? (Check all that apply and **briefly explain**)

☐ The project supports the Governor's business goals? Which one(s)?

☐ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

☐ The project will improve customer service to ☐ citizens of Wisconsin, ☐ local governments, ☐businesses, or ☐ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? ____ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
X☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes?

☐ Yes X☐ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes X☐ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity X☐ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: Exam Tracking System DIN # (if appropriate)
Agency: OCI Contact Name: Yvonne Sherry Phone: 266-0091
Email:

Provide an Executive Summary to describe the key points of the project:

Creation of a system to track both progress and history of an exam report from first draft through the review/edit process. This system would replace information currently being tracked in access and paper form. This system then would be able to provide reports as well as automatic tickler notification to keep the process moving. This would then keep our exam report process within the 18 month rule required by the NAIC. This is a requirement of the accreditation approval.

Items Considered by Financial Supervisors

1. 3 to 5-year rotation schedule
2. Financial condition of companies
3. Personnel-related issues
    a. Training
    b. Experience
    c. Vacations
4. How long last exam took
5. Location of books and records
6. Company's system structure
7. Coordination with other states
8. Company may request an exam

Exam Schedule

List of companies we intend to audit
EIC
Team members
Expected start date
How long exam is expected to take
Supervisor
Type of exam

Exam schedule is produced
Schedule sent to Exec Staff and Yvonne's staff
Enter into OCI Exam Tracking System
Enter into NAIC Exam Tracking System

OCI Exam Tracking System

1. Work-papers retrieved
2. Enter:
    a. Company Name (name changes)
    b. EIC
    c. Date called NAIC
    d. Start date (tentative date)
    e. Date entered into Teammate (set up Teammate project)
    f. Call letters (track by date)
        i. Appointment letter) Given to:
        ii. Call letter) Company Representative
        iii. Company Representation letter) Given to:
        iv. Attachment) EIC
    g. As of Date

At end of exam track:

1. End date
2. Person days
3. Serving letter
4. Adoption letter
5. Response to recommendations date
6. Director distribution date
7. Distribution to other states date
8. Billing date for Town Mutuals and Cooperatives
9. Scan response (or objection) to report

NAIC

Enter much of the same information as in OCI Exam Tracking
Additional recipients

Teammate Tracking

Set up project – on "s" drive
Pick file name – individual company or group
EIC (Admin.)
Examiners
Supervisor
Guenther
Advanced examiners
Not done – filled in when EIC indicates steps they are not going to do
Cindy, Julie, Penny (Admin)
Import call letters
Date put in OCI Exam Tracking
Date keyed at NAIC
Response to report recommendations scanned

Exam Statuses

Exam happens or is canceled
Exam report tracking begins (see procedure on Intranet)
Folder and paper checklist follow hard copy of exam
Report is electronic on s drive
Any of the steps on the checklist can repeat

Status Reports

Aging Report
Meet monthly on exam statuses
Made public within 18 months of "As Of" date **OR** 4 months of completion of fieldwork; whichever comes first

Want

1. Workflow on-line to collect data and send reminders
2. Generate reports
3. Information about person time back into the beginning
4. Access to Oracle
5. Is there a way to get data into Teammate?

Why are we doing this project? (Check all that apply and **briefly explain**)

x☐ The project supports the Governor's business goals? Which one(s)?
Government Efficiencies

x☐ The project will reduce the cost of performing some business function(s)?
Less duplication will occur.

☐ The project will increase revenue?

☐ The project will improve customer service to ☐ citizens of Wisconsin, ☐ local governments, x☐businesses, or x☐ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

x☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or x☐ *sunset* (obsolete) technology? OCI currently uses Oracle and Delphi/JAVA for programming production systems. This system is currently written in Access and does not connect to the Company system.

☐ The project is needed to comply with enterprise or agency technology standards.

x☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? ____ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?
Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

x☐ New Development / Major Reengineering (Higher risk)
☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes x☐ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

x☐ Yes ☐ No If yes, please explain. This will help with the NAIC requirement of 18 months from the time an exam is started and adopted.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity x☐ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.
This project will connect to the NAIC network to upload data to their tracking system.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

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Hardware						$0
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Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

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- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
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GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

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General Project Information

Project Name: Internet Filing Project DIN # (if appropriate)
Agency: Insurance Contact Name: Richard Hinkel Phone: 7-7910 Email: Richard.Hinkel@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:

Insurers doing business in Wisconsin are required to file forms to supplement the financial information provided in the National Association of Insurance Commissioners (NAIC) annual statement. Many of these forms are used to determine the insurer's compliance with Wisconsin statutes and regulations.

There has been some interest expressed by insurers to be able to file the information electronically. Several items have been initiated:

- Forms have been developed for filing
  - OCI 22-061 HMO Compulsory Surplus Calculation
  - OCI 22-308 Domestic Property and Casualty Compulsory Surplus Calculation
  - OCI 22-309 Domestic Life and Accident & Health Compulsory Surplus Calculation
  - OCI 22-310 Domestic Health Compulsory Surplus Calculation
  - OCI 22-008 Nondomestic Property and Casualty Compulsory Surplus Calculation
  - OCI 22-009 Nondomestic Life and Accident & Health Compulsory Surplus Calculation
  - OCI 22-062 HMO Enrollment By Service Area—Small Group
  - OCI 22-063 HMO Enrollment By Service Area—Large Group and Other
  - OCI 22-311 Financial and Operating Statistics – Health
  - OCI 26-903 HMO Data Collection
  - OCI 26-053 Product Liability Insurance Report Part I
  - OCI 26-053 Product Liability Insurance Report Part II
  - OCI 26-054 Product Liability Insurance Report Part III
  - OCI 26-055 Commercial Liability Insurance Report Part I
  - OCI 26-055 Commercial Liability Insurance Report Part II
  - OCI 26-007 PPP Grievance Report
  - OCI 26-007 LSHO Grievance Report
  - OCI 26-030 HMO Grievance Report
  - OCI 26-031 Grievance Report
- A program written in perl has been placed on the website that converts form data to an e-mail after the form has been submitted.
- A parsing program has been purchased to strip the data from the e-mail to a text (csv) file.
- Databases have been developed to store the data

The IT project would 1) automate and streamline the flow of data from the internet to the resident database, 2) generate an e-mail response confirming the receipt of the data, 3) create standard and ad hoc reporting capabilities, and 4) create an interface from which the forms can be viewed and printed.

Why are we doing this project? (Check all that apply and **briefly explain**)

☐ The project supports the Governor's business goals? Which one(s)?

☒ The project will reduce the cost of performing some business function(s)? There will be a reduction of data entry for examiners and/or program assistants.

☐ The project will increase revenue?

☒ The project will improve customer service to ☒ citizens of Wisconsin, ☐ local governments, ☐businesses, or ☒ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? ____ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
☒ Upgrade / Maintenance (Lower risk)

Application (Check one)

☒ New Development / Major Reengineering (Higher risk)
☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes?

☐ Yes ☒ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes ☒ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☒ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

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Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

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- Major/strategic software or application enhancement
- Major/strategic software or application installation
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- Major/strategic infrastructure modifications.

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FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
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GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

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General Project Information

Project Name: **WEB access for complaint correspondence** DIN # (if appropriate)
Agency: **OCI** Contact Name: **Sue Ezalarab** Phone: 6-8885 Email:

Provide an Executive Summary to describe the key points of the project:

This project has several parts.

1) Consumers will be able to file complaints online by completing a data entry form on the OCI website and submit supporting documentation electronically.
    a) Use WAMS Security
    b) Acknowledgement of receiving complaint (on-line) with a Complaint number attached in an e-mail. They use this number to send it attachments if they can not electronically send it.
    c) Accept electronic documents.

2) The data elements will populate a complaint record and route to the inbasket of a program assistant in complaints who will edit and complete the data entry. (Reason, special requests, agent verification, etc)

3) The resulting complaint will be e-mailed/faxed to the insurer automatically plus attachments.

4) The insurer will respond via e-mail and the response will be indexed automatically to the assigned complaint file number and routed to the electronic workbasket of the examiner for review.

5) The examiner will correspond with the insurer and the consumer via e-mail and conclude the review of the file. The e-mails will all be recorded automatically as documents in the complaint file.

Experience has shown that e-mail with insurers is extremely fast and efficient, resulting in complaint resolution in a few days as compared to the average of 6 weeks for paper complaints. An e-mail from the consumer is handled only by the assigned examiner instead of the mail clerk, program assistant, and scanning technician.

Why are we doing this project? (Check all that apply and **briefly explain**)

x☐ The project supports the Governor's business goals? Which one(s)?
Government Efficiency

x☐ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

x The project will improve customer service to **x** citizens of Wisconsin, ☐ local governments, businesses, or ☐ within State government?

x☐ This is a mandated project. Please specify the mandate and impact of non-compliance.
This project supports the NAIC goals of letting all consumers file electronically.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

x☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

See executive summary.

- Please explain any business or other factors which affect the planned schedule for completion?

If Sircon.gov is used for Complaints system in the future, this project (depending on the start and end date) would need to be modified.

- What is the estimated useful life of the system or service provided by this project? _5_ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes x☐ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

x☐ Yes ☐ No If yes, please explain.
This is of interest for quicker turn around for consumers and companies. Experience has shown that e-mail with insurers is extremely fast and efficient, resulting in complaint resolution in a few days as compared to the average of 6 weeks for paper complaints. An e-mail from the consumer is handled only by the assigned examiner instead of the mail clerk, program assistant, and scanning technician.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity x☐ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:
Security (WAMS)

Other Risks
Please explain any other risks or dependencies?
This project will not start until a decision is made regarding SIRCON.gov.

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

The front end piece for the consumer could be on Wisconsin.gov.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: **Download Company Billing Lists from Web** DIN # (if appropriate)
Agency: **OCI** Contact Name: **Laurna Landphier** Phone:7-1238
Email: laurna.landphier@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:

Successful implementation of this project would allow insurance companies to download annual company billing lists directly from the OCI website.

The project will reduce the cost of performing some business functions. The annual company billing is one of the most time-consuming and expensive mailings performed by the Agent Licensing Section. All lists of currently printed in-house, taking approximately 3 business days to print; and another 2 business days to stuff and mail. This project will require the office to mail the invoices only and allow companies to download the lists of agents associated with each invoice. It will save thousands of dollars in handling and mailing costs.

Why are we doing this project? (Check all that apply and **briefly explain**)

x☐ The project supports the Governor's business goals? Which one(s)?
Government Efficiency

x☐ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

x The project will improve customer service to citizens of Wisconsin, ☐ local governments, **x** - businesses, or ☐ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

x☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: 07/01/04 Projected completion date: 12/15/2004

This is a continuation of the agency's ongoing project of continually improving and updating the value of the agency's website.

- Describe major project components or deliverables with target completion dates:

Maintain a point in time dataset for initial and renewal appointments. This could be accomplished by using a PDF file.
WAMS secure
Web application to display and download from.
OCI may consider moving to e-payments.

- Please explain any business or other factors which affect the planned schedule for completion?

This must be done in a timley for the next renewal cycle before 12/15/2004. Otherwise it may lag till the cycle for 2005.

- What is the estimated useful life of the system or service provided by this project? _10_ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes?

☐ Yes x ☐ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes x☐ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☐ Average Complexity x☐ Low Complexity

Platforms/OS/Key Interfaces

Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?
This must be done in a timley for the next renewal cycle before 12/15/2004. Otherwise it may lag till the cycle for 2005.

Risk Mitigation
Please explain how the risks with the project are mitigated?
We will plan the project accordingly and monitor the progress.

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: **SIRCON.GOV - Complaints** DIN # (if appropriate)
Agency: **OCI** Contact Name: **Sue Ezalarab** Phone: 6-8885 Email:

Provide an Executive Summary to describe the key points of the project:

Move the complaint system to sircon.gov. This will require that sircon.gov provide the functionality needed to handle complaints electronically, including contacts with both consumers and insurers/agents. There will still be a need to handle paper correspondence and convert these documents to images. The advantage would be that all of the OCI regulatory processes would be integrated in one system. OCI would not convert existing complaints, but would run off the existing complaints in the old system, so there would be no conversion issues. The existing ORACLE system would be maintained for historical purposes for a period of time.

Why are we doing this project? (Check all that apply and **briefly explain**)

x☐ The project supports the Governor's business goals? Which one(s)?
Government efficiency

x☐ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

x☐ The project will improve customer service to x☐ citizens of Wisconsin, ☐ local governments, x☐businesses, or ☐ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

x☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

x☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

Data element analysis
Document management (creating, saving, viewing) Imaging is included (Word, PDF, TIFF) (hooks into current OCI document management)
Reports
Web screens
Workflow
Testing
Integration with OCI databases (OCI Legal system or Sircon.gov enforcement)

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? _5_ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

x☐ New Development / Major Reengineering (Higher risk)
☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

x☐ New Development / Major Reengineering (Higher risk)
☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes x ☐ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

x☐ Yes ☐ No If yes, please explain.
This is of interest for quicker turn around for consumers and companies. Experience has shown that e-mail with insurers is extremely fast and efficient, resulting in complaint resolution in a few days as compared to the average of 6 weeks for paper complaints. An e-mail from the consumer is handled only by the asigned examiner instead of the mail clerk, program assistant, and scanning technician.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

x☐ High Complexity ☐ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?
This project will not start until a decision is made regarding SIRCON.gov.

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

Please complete this form for all new major or strategic initiatives (see p. 4 for definitions). This form has two sections: General Project Information and Return on Investment information. With the information from both sections, we can begin to create a genuine enterprise IT portfolio. We will start by getting a high level idea of what new IT initiatives will cost across the enterprise. Please provide the information requested as you expect the project to develop. We recognize that the level of accuracy in the information depends on many factors. Please provide what is known, planned and estimated and explain the basis and assumptions as best you can. Make as many copies of this form as you need, using one for each new initiative. Please submit these forms electronically.

General Project Information

Project Name: **SIRCON.GOV – rate/form** DIN # (if appropriate)
Agency: **OCI** Contact Name: **Sue Ezalarab** Phone: 6-8885 Email:

Provide an Executive Summary to describe the key points of the project:

When OCI moves to the sircon.gov rate and form module, there will be significant changes to the product category/product coding and to the transmittal documents as OCI will adopt the uniform product coding matrices and the uniform transmittal documents. There will be conversion issues related to existing filings using the old coding, modifications needed to the SERFF API, and reports and queries that will be made across the two coding systems.

Uniform product coding matrices – public lookup and web will need analysis for changes. Public access queries will change.
Uniform transmittal documents – Documents may have a different format.
This URTT Requirement will have an effect on both OCI Enterprise and COSMOS.
OCI will have to update enterprise tables.
Any reports in OCI enterprise will need analysis for changes.

Why are we doing this project? (Check all that apply and **briefly explain**)

x☐ The project supports the Governor's business goals? Which one(s)?
Government efficiency

☐ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

x☐ The project will improve customer service to ☐ citizens of Wisconsin, ☐ local governments, x☐businesses, or ☐ within State government?

x☐ This is a mandated project. Please specify the mandate and impact of non-compliance.
Part of URTT

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

x☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

Uniform product coding matrices – public lookup and web will need analysis for changes. Public access queries will change.
Uniform transmittal documents – Documents may have a different format.
This URTT Requirement will have an effect on both OCI Enterprise and COSMOS.
OCI will have to update enterprise tables.
Any reports in OCI enterprise will need analysis for changes.

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? _5_ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?
Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
x☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes?

☐ Yes x☐ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

x☐ Yes ☐ No If yes, please explain. Uniformity will help businesses get their product to market faster.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity x☐ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any?
If yes, please explain:
Enterprise server consolidation may have an impact.

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

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- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

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General Project Information

Project Name: **WEB access – rates/forms** DIN # (if appropriate)
Agency**:** **OCI** Contact Name: **Sue Ezalarab** Phone: 6-8885 Email:

Provide an Executive Summary to describe the key points of the project:

Make all approved forms and filed rates available for review via the OCI website. This will require collecting filings from COSMOS, SERFF and the OCI ORACLE database so that the public can search for filings on the website. The number of SERFF and SIRCON filings is increasing so that about one third of the filings are not viewable through the ORACLE look up.

Why are we doing this project? (Check all that apply and **briefly explain**)

☐ The project supports the Governor's business goals? Which one(s)?

☐ The project will reduce the cost of performing some business function(s)?

☐ The project will increase revenue?

x☐ The project will improve customer service to x☐ citizens of Wisconsin, ☐ local governments, ☐businesses, or ☐ within State government?

☐ This is a mandated project. Please specify the mandate and impact of non-compliance.

☐ The project is essential to citizen health, safety, privacy, or security.

☐ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ☐ *sunset* (obsolete) technology?

☐ The project is needed to comply with enterprise or agency technology standards.

☐ This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: __/__/____ Projected completion date: __/__/____

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? ____ yrs
  Please explain the basis and assumptions of the estimate.

What are the project risks and how will they be mitigated?
Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

☐ New Development / Major Reengineering (Higher risk)
☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

☐ New Development / Major Reengineering (Higher risk)
☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes ☐ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

☐ Yes ☐ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

☐ High Complexity ☐ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

- Are there other agencies that perform the same business function? Have opportunities for collaboration been identified and/or discussed with these agencies? Please explain.

- Any other comments about the potential benefit of this project to the enterprise?

Return on Investment (ROI) Calculation Form

This form should be used to calculate ROI for any major or strategic new IT initiative. Please see further instructions on p.4.

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	FY 200x	FY 200x	FY 200x	FY 200x	FY 200x	Total
Costs						
Agency FTE Salary						$0
Software						$0
Hardware						$0
Training						$0
Facilities						$0
Professional Services						$0
Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
Support cost savings						$0
Increased revenues						$0
Other savings						$0
Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Intangible Benefits						
List benefits as needed						
Use text descriptions to explain source of benefits						

Instructions for ROI Form.

This form should be completed for all new initiatives, regardless of funding source, and whether funded from base budget or new money. **New** projects are those that presented for the first time in this year's strategic plan. Projects to be addressed include

- Major/strategic software or application development,
- Major/strategic software or application enhancement
- Major/strategic software or application installation
- Major/strategic infrastructure implementations
- Major/strategic infrastructure modifications.

****Major*** is defined as any IT project whose first year expenditures exceed $250,000. In some cases, project costs may be less than $250,000, but the project will have a **strategic** impact and/or **strategically** support the governor's goals. If you feel a project meets this criterion, please create an ROI form for it. Large agencies may consider $250,000 annual costs as too low a threshold. In this case, use your best judgment as to whether the project is strategic or not.

FUNDING

Describe the proposed fund sources for the project lifecycle (developmental through operational). Please specify by fiscal year. To use the form, please double-click in the chart below to use it as a Microsoft Excel spreadsheet for calculations.

Funding Sources	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	FY 200x Amount	Totals
Base Budget $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New Ongoing $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
New One time $*						
GPR, PR, SEG, etc.	$0	$0	$0	$0	$0	$0
Total New Funding	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Funding Totals	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Master Lease? Yes ____ No_____

* Specify the proposed source of funds, including the appropriation, and whether master lease will be used. Add as many rows and columns as necessary to fully describe the proposed funding strategy for the entire project lifecycle for all cost components (Business and IT/ Development and Operational). Include explanatory text as necessary.

IT PROJECT INFORMATION
AND
RETURN ON INVESTMENT FORM

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General Project Information

Project Name: **New Computer System for the Injured Patients and Families Compensation Fund**
Agency: **OCI** Contact Name: Theresa Wedekind Phone: 266-0953
Email: theresa.wedekind@oci.state.wi.us

Provide an Executive Summary to describe the key points of the project:

The new system will provide improved customer service thereby limiting demands on our health care professionals. It will also significantly increase the reliability of the information in the Fund database relating to coverage, claims, and billing issues. The new system will also free up Fund staff time that can then be used to work on und claims compilations, audits of the claims contractor, and other important projects.

Why are we doing this project? (Check all that apply and **briefly explain**)

■ The project supports the Governor's business goals? Which one(s)?

1. Streamlining state government
2. Reforming Health Care

■ The project will reduce the cost of performing some business function(s)?

Currently, due to multiple limitations within the current system; we have encountered many instances where provider accounts were not updated correctly or bills (assessments) were not properly calculated or adjusted based on the primary coverage information. Incorrect information can result in the licenses of medical providers being placed on hold by the Department of Regulation and Licensing. Fund staff must manually review these accounts and work with IT staff to correct them. This currently happens on a daily basis. These problems affect the work of several of the Fund staff and well as IT staff. It is estimated that there is about 15-20 hours each week of OCI staff time spent on correcting accounts that were a direct result of something within our current system not operating properly, or the system being unable to process.

☐ The project will increase revenue?

■ The project will improve customer service to ■ citizens of Wisconsin, ◘ local governments, ■businesses, or ■ within State government?

■ This is a mandated project. Please specify the mandate and impact of non-compliance.

■The project is essential to citizen health, safety, privacy, or security.

■ This project replaces at-risk technology. Is this ☐ *twilight* (obsolescent) or ■*sunset* (obsolete) technology?

■ The project is needed to comply with enterprise or agency technology standards.

■This project is consistent with agency and enterprise plans and standards. If not, please explain.

Project Schedule

- Planned start date: 01/02/2005 Projected completion date: 06/30/2007

☐ Is this a component of a larger program reengineering or project currently in progress or in planning? If yes, please explain.

- Describe major project components or deliverables with target completion dates:

Project Activities

- Hire backup Maintenance Programmer
- Train backup Maintenance Programmer
- Write Charter
- Analyze Requirements
    - Prototyping
- Hire Interface Programmer
- Write Requirements Document
- Hire Backend Programmer
- Set up Application Server
- Design/Code/Test/Deploy backbone
    - Certificate Processing (late and future certificates, address changes)
    - Terminate and revise certificates
    - Exemption Processing (late and future exemptions)
    - Non Compliance (Financial and Certificate)
    - Process lockbox payments
- Design/Code/Test/Deploy User Interface
    - Claims (Add, Change)
    - Certificates (Add, Change)
    - Exemptions (Add, Change)
    - Payments (Add, Change)
    - Providers (Add, Change)
    - Financial Maintenance (Add, Change)
    - Administration (Table Maintenance)
    - Liberty Insurance Time Reporting (Add, Change)
    - WAMS Security
- Regulation and Licensing Integration
    - Enterprise Services Bus
        - Reg. & Licensing → OCI
        - OCI → Reg. & Licensing
- Develop Reports (75 Reports)
    - 47 on request
    - 1 daily
    - 3 last day of each month
    - 4 at the end of each quarter

- 1 every weekday
- 1 every Monday
- 4 at the first of each month
- 14 at a specific day of the year

- Develop Forms:
  - 20 Provider screens
  - 6 certificate/exemption screens
  - 46 Claim screens
  - 26 Billing screens
  - 17 Administration/Miscellaneous Screens
- Write Scripts:
  - 58 Unix scripts
- Write Programs
  - 15 Pro*C programs (over 30,000 lines of code)

Project Timeline

1.	Train backup maintenance programmer	3 months
2.	Use cases	2 months
3.	Batch back end programming	13 months
4.	User interface programming	9 months
5.	Testing/correction	3 months

- Please explain any business or other factors which affect the planned schedule for completion?

- What is the estimated useful life of the system or service provided by this project? 10-15 yrs
  Please explain the basis and assumptions of the estimate.
  - The current system has been in operation since the early 1990's. We are estimating that the redesigned system will last a similar amount of time as the current system.

What are the project risks and how will they be mitigated?

Several factors contribute to project risk, especially for new projects. Common risks are identified below. Please check all that apply to this project.

Infrastructure (Check one)

■New Development / Major Reengineering (Higher risk)
☐ Upgrade / Maintenance (Lower risk)

Application (Check one)

■ New Development / Major Reengineering (Higher risk)
☐ Maintenance / Minor Enhancements (Lower risk)

Business Complexity - Does this project require major changes to business processes*?*

☐ Yes ■ No If yes, please briefly explain.

High Profile Project - Is this a project of interest to the legislature, other political entities, or advocacy groups? Does it involve participants such as citizens, federal or local government, business?

■Yes ☐ No If yes, please explain.

Technical Complexity - Projects are considered technically complex if they involve multiple platforms, many interfaces, and new technologies. Please rate technical complexity.

■High Complexity ☐ Average Complexity ☐ Low Complexity

Platforms/OS/Key Interfaces
Briefly specify the platforms/operating systems and key interfaces to other systems required for this project and describe your agency's level of experience with the technology.

- Programming language is JAVA
- J2EE architecture
- Interfaces with US Bank and the Department of Regulation and Licensing.

Enterprise Architecture
Is this project dependent on any enterprise architecture or infrastructure development or does it impact any? If yes, please explain:

Other Risks
Please explain any other risks or dependencies?

Risk Mitigation
Please explain how the risks with the project are mitigated?

Potential for Increasing Enterprise Value

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Software						$0
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Supplies, Maintenance						$0
Other (specify)						$0
Total Costs	$0	$0	$0	$0	$0	$0
Tangible Benefits						
Staff savings (specify contractor vs. FTE)						$0
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New Ongoing $*				
GPR, PR, SEG, etc.	$0	$0	$0	$0
New One time $*				
GPR, PR, SEG, etc.	$124,800	$378,100	$381,900	$884,800
Total New Funding	**$124,800**	**$378,100**	**$381,900**	**$884,800**
Funding Totals	**$124,800**	**$378,100**	**$381,900**	**$884,800**

Master Lease? Yes _X___ No_____

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Total Benefits	$0	$0	$0	$0	$0	$0
Benefits minus Costs equal Total Savings	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
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Master Lease? Yes _X___ No_____

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